11-02-04

3628

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/500,624
Filing Date	February 9, 2000
First Named Inventor	Dean W. Amburn
Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	2425-000001

Total Number of Pages in This Submission

ENCLOSURES ***(check all that apply)***

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
- ☐ After Allowance Communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) *(please identify below)*:

  Applicant's Interview Summary; return postcard.

Remarks

The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name Dean W. Amburn	Reg. No. 46,517
Signature			
Date	November 1, 2004		

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.:	09/500,624
Filing Date:	February 9, 2000
Applicant:	Dean Amburn
Group Art Unit:	3628
Examiner:	Harish T. Dass
Title:	Method And Apparatus For Automated Trading of Equity Securities Using A Real Time Data Analysis
Attorney Docket:	2425-000001

Director of the United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450

APPLICANT'S INTERVIEW SUMMARY

Sir:

An in-person interview regarding the above-cited application took place on October 8, 2004. During the interview, Applicant and Examiners Harish T. Dass and Hyung S. Sough discussed cited prior art references and Applicant's amended claims. Examiner Dass expressed concern about use of the term "mathematical function" in the claims as possibly indefinite. Applicant offered reasons why the claim terminology is not indefinite, including examples of how the system would work. Applicant also suggested that the system inherently would define variables that work within the mathematical functions as is routinely done in software applications. Examiner Sough suggested

possible amendments to further clarify the meaning of this terminology. No further agreement was reached on allowable subject matter.

Respectfully submitted,

Dated: 11/1/2004

By: _____
Dean W. Amburn
Reg. No. 46,517

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